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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/628,819	07/28/2003	Walter L. Raines	Raines-003	5872

26604 7590 01/12/2005

KENNETH L. NASH  
P.O. BOX 680106  
HOUSTON, TX 77268-0106

EXAMINER

HAMILTON, LALITA M

ART UNIT PAPER NUMBER

3624

DATE MAILED: 01/12/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Application No.

10/628,819

Applicant(s)

RAINES, WALTER L.

Examiner

Lalita M Hamilton

Art Unit

3624

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 04 November 2004.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-21 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-21 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |  |   |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892)   | 4) <input type="checkbox"/> Interview Summary (PTO-413)<br>Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948)                                   | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152)             |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____  |

## **DETAILED ACTION**

### **Summary**

On August 23, 2004, an Office Action was sent to the Applicant rejecting claims 1-21. On November 4, 2004, the Applicant responded by amending claims 1, 4, 7, 9, 12, and 16. Claims 22-24 were withdrawn in the previous Office Action mailed on August 23, 2004.

### ***Election/Restrictions***

Applicant acknowledged that claims 22-24 were withdrawn without traverse in the previous Office Action.

### ***Specification***

The objection has been withdrawn.

### ***Claim Objections***

The objection has been withdrawn.

### ***Claim Rejections - 35 USC § 101***

The rejection has been withdrawn.

### ***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

Claims 1-21 are rejected under 35 U.S.C. 102(b) as being anticipated by Houvener (WO 00/75884), as set forth in the previous Office Action.

With regard to the amended claims, Houvener discloses a computer-implemented method (see abstract); reading the machine-readable data on said paper receipt such that said machine-readable data is recognized (p.11, line 20 to p.12, line 32 and see abstract); electronically storing an electronic representation of the paper receipt utilizing said recognized machine-readable data (see abstract); utilizing a computer at a different location than the location where said credit card financial transaction occurred (p.16, line 4 to p.17, line 30); the optical scanner being operable for reading machine-readable data on said paper receipt to produce machine-readable data in response to optically scanning said paper receipt (p.17, line 31 to p.19, line 16); and one or more computers programmed for organizing storage in said electronic storage medium utilizing said machine-readable data, said one or more computers being programmed for retrieving selected electronic representation of said paper receipt based on said machine-read data (p.19, line 17 to p.21, line 10).

### ***Response to Arguments***

Applicant's arguments filed November 4, 2004 have been fully considered but they are not persuasive. With regard to claims 1-6, the Applicant argues that the Houvener reference does not disclose optically scanning the endorsed receipt...and for reading said machine readable data on said paper receipt such that said machine readable data is recognized. In response, Houvener discloses this limitation substantially as claimed (p.17, line 31 to p.20, line 26). Houvener discloses that a document, such as a receipt or financial instrument, may be scanned, including any

machine-readable data present on the document. Thus, the machine-readable data is recognized.

The Applicant argues that Houvener does not disclose electronically storing said electronic presentation of said paper receipt utilizing said recognized machine-readable data. In response, Houvener clearly discloses storing the electronic presentation (see abstract and p.21, lines 10-27).

With regard to claims 7-15, the Applicant argues that Houvener does not disclose providing a website on the Internet accessible by a plurality of purchasers or agents utilizing a computer at a different location than the location where said credit card financial transaction occurred or the web site being operable for providing a viewable copy of said respective of said plurality of receipts for a selectable credit card transaction. In response, Houvener discloses that communication may be established using a variety of high-speed networks to access stored information (p.16, line 4 to p.17, line 30 and p.21, lines 10-28). The information may be accessed by authorized users located at different locations; therefore, a user may access and view stored information using the Internet or any other high-speed network.

With regard to claims 16-21, the Applicant argues that Houvener does not disclose electronically storing said electronic presentation of said paper receipt utilizing said recognized machine-readable data. The Applicant further argues that the system disclosed by Houvener is not capable of printing bar codes. In response, Houvener clearly discloses storing the electronic presentation (see abstract and p.21, lines 10-27). Further, Houvener discloses that a "snap shot" may be taken of the document (p.18,

lines 1-15). Therefore, the system disclosed by Houvener does have the capability of printing bar codes, thus, the Examiner is interpreting Houvener as reading onto the invention substantially as claimed.

### ***Conclusion***

Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire **THREE MONTHS** from the mailing date of this action. In the event a first reply is filed within **TWO MONTHS** of the mailing date of this final action and the advisory action is not mailed until after the end of the **THREE-MONTH** shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than **SIX MONTHS** from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Lalita M Hamilton whose telephone number is (703) 306-5715. The examiner can normally be reached on Tuesday-Thursday (8:30-4:30).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Vincent Millin can be reached on (703) 308-1065. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

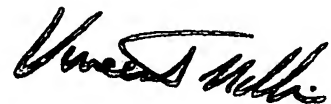
Art Unit: 3624

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LMH

VINCENT MILLIN  
SUPERVISORY PATENT EXAMINER  
TECHNOLOGY CENTER 3600





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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/628,819	07/28/2003	Walter L. Raines	Raines-003	5872
26604	7590	08/23/2004	EXAMINER	
KENNETH L. NASH P.O. BOX 680106 HOUSTON, TX 77268-0106			HAMILTON, LALITA M	
			ART UNIT	PAPER NUMBER
			3624	

DATE MAILED: 08/23/2004

Please find below and/or attached an Office communication concerning this application or proceeding.



<b>Office Action Summary</b>	Application No. 10/628,819	Applicant(s) RAINES, WALTER L.	
	Examiner Lalita M Hamilton	Art Unit 3624	

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**Period for Reply**

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- Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

**Status**

- 1) ☐ Responsive to communication(s) filed on \_\_\_\_.
- 2a) ☐ This action is FINAL.                      2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

**Disposition of Claims**

- 4) ☒ Claim(s) 1-24 is/are pending in the application.
- 4a) Of the above claim(s) 22-24 is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-21 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_ are subject to restriction and/or election requirement.

**Application Papers**

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
     Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
     Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

**Priority under 35 U.S.C. § 119**

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_.
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

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| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)<br>Paper No(s)/Mail Date <u>08182004</u> . | 6) <input type="checkbox"/> Other: ____.  |

**DETAILED ACTION**

***Election/Restrictions***

Restriction to one of the following inventions is required under 35 U.S.C. 121:

- I. Claims 1-21, drawn to method of processing a plurality of credit card financial transactions, classified in class 705, subclass 35.
- II. Claims 22-24, drawn to system for processing credit card transactions, classified in class 705, subclass 40.

The inventions are distinct, each from the other because of the following reasons:

Inventions I and II are related as subcombinations disclosed as usable together in a single combination. The subcombinations are distinct from each other if they are shown to be separately usable. In the instant case, invention I has separate utility such as being used to process any store receipt. See MPEP § 806.05(d).

Because these inventions are distinct for the reasons given above and the search required for Group I is not required for Group II, restriction for examination purposes as indicated is proper.

During a telephone conversation with Kenneth Nash on August 16, 2004 a provisional election was made without traverse to prosecute the invention of Group I, claims 1-21. Affirmation of this election must be made by applicant in replying to this Office action. Claims 22-24 withdrawn from further consideration by the examiner, 37 CFR 1.142(b), as being drawn to a non-elected invention.

***Specification***

The abstract of the disclosure is objected to because the use of "such as" is improper. Correction is required. See MPEP § 608.01(b).

***Claim Objections***

Claim 1-11 are objected to because of the following informalities: In claims 1 and 7, "comprise" should be "comprises". The remaining claims are objected to because of their dependency on the objected claims. Appropriate correction is required.

***Claim Rejections - 35 USC § 101***

35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

Claims 1-11 are rejected under 35 U.S.C. 101 because the claimed invention is directed to non-statutory subject matter.

35 USC 101 requires that in order to be patentable the invention must be a "new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof" (emphasis added).

Claims 1-11 are rejected under 35 U.S.C. 101 because the claimed invention is directed to a non-statutory subject matter. Specifically the method claims as presented do not claim a technological basis in the pre-amble and the body of the claim. Without a claimed basis, the claim may be interpreted in an alternative as involving no more than a manipulation of an abstract idea and therefore non-statutory under 35 U.S.C. 101. In contrast, a method claim that includes in the body of the claim structural / functional interrelationship which can only be computer implemented is considered to have a

technological basis [See Ex parte Bowman, 61 USPQ2d 1669, 1671 (Bd. Pat. App. & Inter. 2001) - used only for content and reasoning since not precedential].

In order to overcome the 101 rejection above, the following preamble is suggested:

-A computer implemented method for ---, or something similar. Also, in the body of the claim include structural / functional interrelationship which can only be computer implemented.

***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

Claims 1-21 are rejected under 35 U.S.C. 102(b) as being anticipated by Houvener (WO 00/75884).

Houvener discloses a receipt scanning method and corresponding system comprising producing a plurality of paper receipts related to said plurality of credit card financial transactions such that each of said plurality of paper receipts comprise machine-readable data which identify each of said plurality of credit card financial transactions, each of said plurality of paper receipts comprise an endorsement by a respective of said plurality of purchasers to confirm each of said plurality of credit card financial transactions, optically scanning each of said plurality of paper receipts for

producing an electronic representation of said plurality of paper receipts including said endorsement and for reading said machine-readable data on said paper receipt, and electronically storing said electronic copy of said paper receipt so as to be organized for electronic retrieval based on said machine-readable data (p.9, 20 to p.10, 25); machine-readable data comprises bar codes (p.9, 20 to p.10, 25-inherent that machine-readable bar codes may be present on receipt, since many companies use bar codes to scan data into the system if a customer returns an item); machine-readable data comprises textual print readable by optical character recognition (OCR) software (p.9, 20 to p.10, 25); providing credit card transaction information over the Internet to said plurality of purchasers, said credit card transaction information comprising said electronic copy of said paper receipt (p.9, 20 to p.10, 25); printing said paper receipt with a printer operable for providing said machine-readable data on said paper receipt (p.9, 20 to p.10, 25); endorsement comprises a signature (p.9, 20 to p.10, 25); producing a plurality of receipts related to said plurality of credit card financial transactions such that each of said plurality of receipts comprise an endorsement by a respective of said plurality of purchasers to confirm each of said plurality of credit card financial transactions, electronically storing an electronic copy of each of said plurality of receipts, said electronic copy being suitable for producing a purchaser readable copy of a respective of said plurality of receipts, and providing a web site on the Internet accessible by said plurality of purchasers or agents thereof, said web site providing credit card transaction information regarding transactions made said plurality of purchasers during a selected time period, said web site being operable for providing

Art Unit: 3624

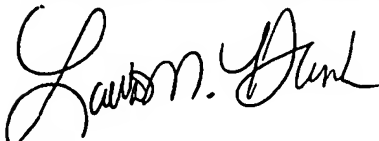
a viewable copy of said respective of said plurality of receipts for a selectable credit card transaction (p.9, 20 to p.10, 25 and p.16, 4 to p.17, 30); each of said plurality of receipts is a paper receipt (p.9, 20 to p.10, 25 and p.16, 4 to p.17, 30); each of said plurality of paper receipts comprise financial transaction data comprising items purchased (p.9, 20 to p.10, 25 and p.16, 4 to p.17, 30); said endorsement comprises a signature of each of said plurality of purchasers during a respective of said credit card financial transactions (p.9, 20 to p.10, 25 and p.16, 4 to p.17, 30); endorsement comprises a password known by a respective purchaser (p.9, 20 to p.10, 25 and p.16, 4 to p.17, 30--PIN); and a printer operable for producing a paper receipt related to said plurality of credit card financial transactions such that each of said plurality of paper receipts comprise machine-readable data which identify each of said plurality of credit card financial transactions, each of said plurality of paper receipts being endorsed by a respective of said plurality of purchasers to confirm each of said plurality of credit card financial transactions, an optical scanner for producing an electronic representation of said plurality of paper receipts including said endorsement, said optical scanner being operable for reading said machine-readable data on said paper receipt, an electronic storage medium for storing said electronic representation of said paper receipt, and a computer for organizing storage in said electronic storage based on said machine-readable data, said computer being operable for retrieving a selected electronic representation of said paper receipt based on said machine-readable data (p.9, 20 to p.10, 25 and p.16, 4 to p.17, 30).

**Conclusion**

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Lalita M Hamilton whose telephone number is (703) 306-5715. The examiner can normally be reached on Tuesday-Thursday (8:30-4:30).

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LMH